Responsible Office: HQ Human Resources and Management Division, Code CP
Subject: Quality System Training

HEADQUARTERS COMMON PROCESS

QUALITY SYSTEM TRAINING

Approved by: April 11, 2000

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Daniel R. Mulville   Date
Associate Deputy Administrator

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		January 15, 1999	
Revision	A	April 28, 1999	Minor clarifications required for consistency and to address DNV comments during preregistration assessment audit. For details, see "HCP 3410-4, Employee Training Comment Disposition, Scott Holliday – 3/22/99"
	A	March 14, 2000	Administrative change. Changed responsible office from Code R to Code C.
Revision	B	April 11, 2000	Transfer of document ownership to Code CP and replace references to required training with Quality System Training and add the Functional Codes for conformance as a result of Phase II Implementation. Effective the date of this revision, all individuals at NASA HQ for longer than 90 days who will be involved in the key products and processes of NASA HQ must meet the On-the-Job Training (OJT) requirements.

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1.0   Purpose

This Headquarters Common Process (HCP) establishes the procedure for identifying training needs and providing Quality System training for all NASA HQ employees.

2.0   Scope and Applicability

This HCP applies to all HQ organizations involved in the products and processes covered by the scope of the HQ Quality System. NASA Headquarters provides three types of training — Quality System, developmental, and mandated, as defined below. Only Quality System training is covered by the scope of this HCP. The requirements of this procedure were applicable to all new and reassigned NASA Headquarters employees within the Enterprise Codes as of April 28, 1999. Effective the date of Revision B, HCP 3410-4, this requirement is applicable for all individuals in every Code where the individuals affect our key products and processes.

3.0   Definitions

3.1   Developmental Training - All training provided which is not deemed as Quality System or mandated. Developmental training is mutually beneficial in that it supports individual development and improves organizational effectiveness. Either the supervisor or employee may initiate developmental training plans. However, supervisors have the discretion to approve developmental training for employees in conjunction with applicable laws, regulations, policies, budget guidelines, organizational needs, and workload requirements.

3.2   Employee – For purposes of this HCP, an employee is an individual who works at NASA Headquarters for a period of 90 days or more and is involved in the key products and processes of NASA Headquarters. This person could be assigned as a civil service employee, contractor, visiting professional, intergovernmental personnel assignee, or detailee.

3.3   Employee Training Record - Records of all developmental training for NASA Headquarters' employees are maintained by NASA's Goddard Space Flight Center (GSFC), Office of Human Resources (OHR). Records and filing locations are identified in paragraph 7.

3.4   Headquarters Human Resources Management Division (Code CP) – The Headquarters division, which maintains responsibility for determining whether personnel are qualified prior to employment and reassignment.

3.5   Individual Development Planning (IDP) Process – Process by which developmental training is planned, approved, and completed by employees. While individual

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developmental planning is strongly encouraged, it is not required. Therefore, training identified through this process is out of scope of this HCP.

3.6 Mandated Training - Mandated training is directed, often as a result of regulatory requirements placed on the Agency, such as annual ethics, security, and safety awareness training. Mandated training may also be directed as a result of Agency or Headquarters initiatives. Authority and responsibility for directing mandated training is derived from NPD 3410.2 and resides with Headquarters managers of Agencywide functions. Mandated training does not directly affect quality. Mandated training may be either global, applying to all Headquarters personnel, such as security and safety training, or specialized, applying only to certain functional areas, skill sets, or defined subsets of Headquarters personnel. Contracting Officer's Technical Representative (COTR), Biology Training, and Property Custodian Training are also examples of specialized mandated training.

3.7 NASA's GSFC OHR – The office which takes the lead in coordinating all non-OJT training for Headquarters employees and maintains all non-OJT training records for Headquarters employees.

3.8 On-the-Job Training (OJT) – Nonclassroom training that orients an employee to the HQ Quality System and related topics or focuses on performing job tasks to build skill proficiency. OJT is done under the guidance of the supervisor or someone experienced and fully qualified in that job or task.

3.9 Personnel Qualifications - Education, training, and/or experience which provides an individual with the necessary skills, knowledge, or credentials to perform the position's responsibilities.

3.10 Position Description - The document that describes the major duties, knowledge, skills, and abilities needed for a specific position.

3.11 Quality System Training – There are two levels of Quality System training—general, which defines the organizational structure, procedures, processes, and resources needed to implement quality management and organizational-specific Quality System training.

3.12 HQ Quality System OJT Record – A record that documents an employee's Quality System OJT (see Appendix A).

3.13 Supervisor - The individual accountable to management for the quantity and quality of work performed by directly reporting employees and for assuring efficient and economical work operations. The supervisor's functions include a range of duties and responsibilities for planning, organizing, assigning, and reviewing work; administering personnel matters; and dealing effectively with employees and union representatives on

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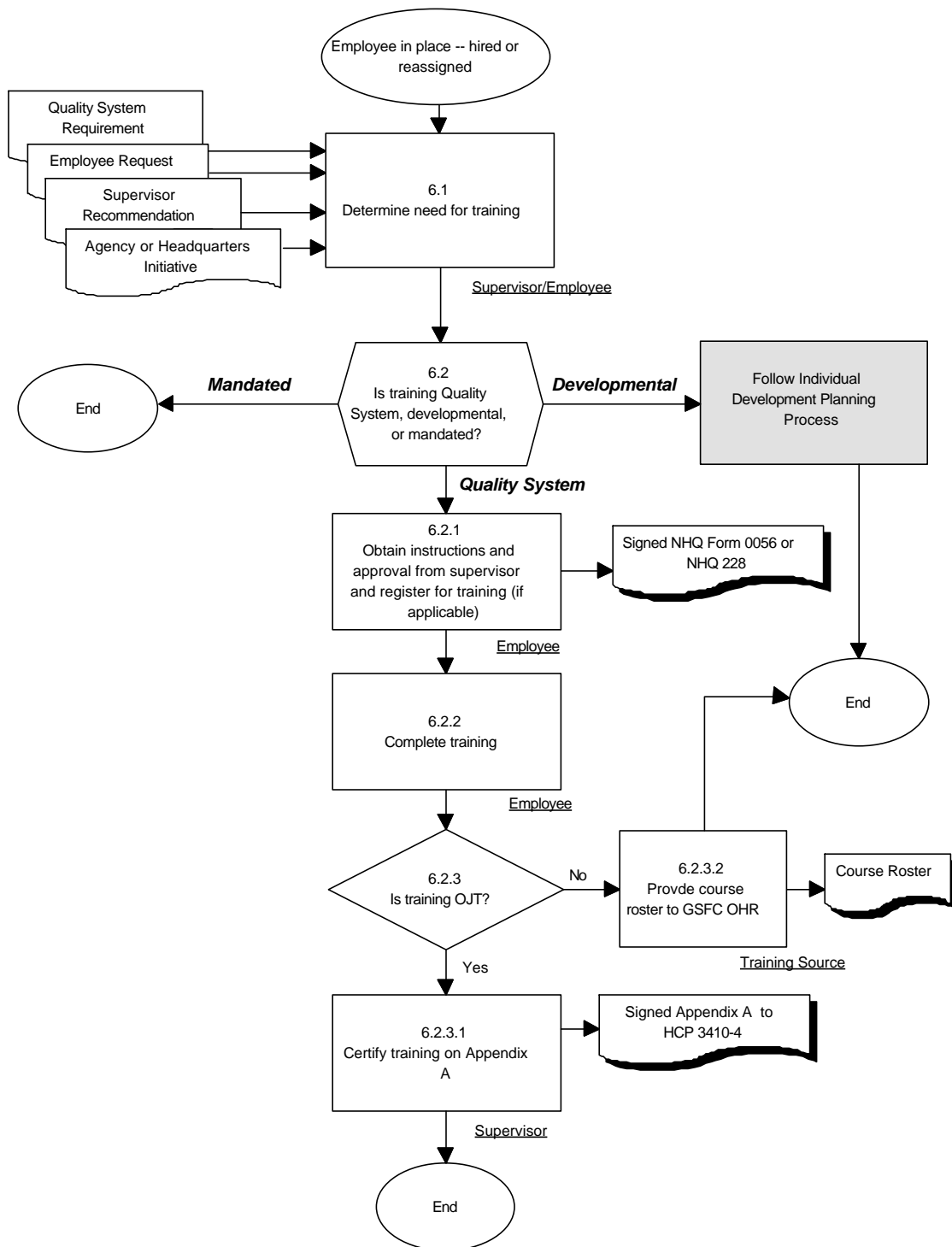
employee-management concerns.

3.14   Training – The process of providing knowledge and skills to employees. Training may include On-the-Job Training (OJT); job-specific training, such as a series of instructions or proficiency demonstrations; or general training, such as a single training course, academic instruction, developmental assignment, or conference. The three types of training provided by NASA Headquarters are described above (Quality System, developmental, and mandated).

4.0   References

4.1   HQSM1200-1, HQ Quality System Manual (HQSM)

4.2   NPD 3410.2, Employee and Organizational Development

4.3   NHQ Form 0056, Request, Authorization, Agreement and Certification of Training w/Instructions

4.4   NHQ Form 228, Application for No-Cost Training

4.5   Memorandum of Agreement (MOA) Between NASA's Office of Headquarters Operations (Code C) and the Goddard Space Flight Center

4.6   Service Level Agreement (SLA) Regarding the Transfer of NASA Headquarters Training and Development Activities for Headquarters Employees to NASA's Goddard Space Flight Center

4.7   Office of Personnel Management (OPM) Qualification Standards Handbook.

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5.0   Flowchart

Employee in place -- hired or reassigned

Quality System Requirement

Employee Request

Supervisor Recommendation

Agency or Headquarters Initiative

6.1
Determine need for training

Supervisor/Employee

6.2
Is training Quality System, developmental, or mandated?

Mandated → End

Developmental → Follow Individual Development Planning Process → End

Quality System

6.2.1
Obtain instructions and approval from supervisor and register for training (if applicable) → Signed NHQ Form 0056 or NHQ 228

Employee

6.2.2
Complete training

Employee

6.2.3
Is training OJT?

No → 6.2.3.2
Provde course roster to GSFC OHR → Course Roster

Training Source

Yes →

6.2.3.1
Certify training on Appendix A → Signed Appendix A to HCP 3410-4

Supervisor

End

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6.0   Procedure

Number	Responsibility	Process Description
6.0	Code CP	The Headquarters Human Resources Management Division (Code CP) ensures that only qualified personnel are hired to perform the functions for which they will be assigned. This is performed through matching potential employee qualifications with education, training, and/or experience requirements, as well as duties of the position as described in the Position Description for the job. Records are maintained in accordance with HQ Human Resources Management Division Standard Operating Procedure: Qualifications for Employment and Training. The Office of Personnel Management (OPM) Qualification Standards Handbook describes the criteria for determining personnel that are qualified prior to hiring. The latest version of the handbook can be obtained at http://www.opm.gov/qualifications/index.htm.
		In addition, all permanent reassignments within NASA Headquarters are approved through Code CP to ensure that personnel being reassigned are qualified to fill the position. All non-NASA personnel shall be qualified, based on similar processes. For example, visiting professional support obtained under an Intergovernmental Personnel Act (IPA) agreement shall be qualified, based on matching position requirements with qualifications of potential candidates. The remainder of this HCP focuses on training personnel in subject matters of particular importance to NASA Headquarters, once they are determined qualified and hired.
6.1	Supervisor/ Employee	Determine need for training. As stated in NPD 3410.2, "all managers and supervisors jointly share with their subordinates responsibility and accountability for their development and training." As a result, the need for Quality System or mandated training, or desire for developmental training, may be initiated by either the supervisor or employee. Non-OJT Quality System training and mandated training are scheduled according to published offerings. Timeframes are detailed in 6.2.2.
6.2	Supervisor	Is the training Quality System, developmental, or mandated per the definitions of training in 3.1 of this HCP? If "Mandated," this process ends; if "developmental," process goes out of scope to the Individual Development Planning Process; if "Quality System," go to 6.2.1. Note: While it is in the supervisor and employee's best interest to agree if training is required, the supervisor maintains the final authority to determine if training is required or not (subject to appeals to higher authorities).
6.2.1	Employee	Obtain instructions and approval from supervisor and register for training, if applicable. Each employee schedules the training with the training source per any instructions and approvals from the supervisor and/or training source. Three types of training forms shall be used, depending on the training source and nature of training. The training source shall provide guidance to employees on forms required for registration and to certify completion, (which then become records). However, the following guidance applies to use of training forms:

NHQ Form 0056 – generally used for formal training in which the |

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		benefiting NASA organization is charged a cost for the employee to attend.
		NHQ Form 228 – generally used for any non-OJT in which the benefiting NASA organization is charged no cost for the employee to attend.
		Appendix A to HCP 3410-4 – used for all Quality System OJT.
6.2.2	Employee/ Supervisor	Quality System training can be either OJT or more formal training, coordinated through the OHR. Discretion is left to the supervisor to determine which training is Quality System training and whether it takes the form of OJT or more formal training, coordinated through OHR. However, Appendix A lists the minimum-Quality System OJT for all individuals assigned to NASA Headquarters organizations for longer than 90 days who will be involved in the key products and processes of NASA Headquarters. It also provides space for supervisors to list additional, organizational-specific required OJT. At a minimum, supervisors shall ensure the following:
		1) Appendix A includes all additional organizational-specific OJT required by the organization, and
		2) All individuals assigned to NASA Headquarters organizations after the effective date of Revision B to HCP 3410-4 who will be involved in the key products and processes of NASA Headquarters shall complete the Quality System OJT within 90 days of their assignment (or effective date of Revision B).
		Note: Appendix A identifies two levels of Quality System OJT: Quality System Training (which is general and defines the organizational structure, procedures, processes, and resources needed to implement quality management) and organizational-specific Quality System training. General training may be fulfilled by requiring employees to read the applicable documents and demonstrate an understanding of the material through an open discussion with the supervisor. The content and format for organizational-specific training is left to the discretion of each organization. However, each organization shall ensure that the content and format of organizational-specific Quality System training is consistent for all employees within the organization to facilitate a common understanding.
6.2.3	Supervisor	Supervisors shall ensure that all non-OJT training deemed required by the organization is scheduled and completed by the employee at the earliest available time, given the criticality of the need and impact on product quality.
6.2.3.1	Supervisor	Supervisors shall promptly certify completion of the OJT using Appendix A. The record is then kept with the supervisor's single-letter code organization in a location designated by the Associate or Deputy Associate Administrator of that organization. Records shall be maintained in conjunction with NPG 1441.1 and Section 7, Quality Records.
6.2.3.2	Training Source (e.g., vendor)	For non-OJT coordinated through GSFC OHR, the training source provides a course roster as a record of student Completion to GSFC OHR. NOTE: The SLA between HQ Code C and GSFC, referenced in

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		Section 4.6, outlines the agreement for GSFC to execute training and developmental activities for Headquarters employees.

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7.0   Quality Records

RECORD ID	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARD COPY	SCHEDULE AND ITEM NUMBER	RETENTION AND DISPOSITION
Course roster	GSFC OHR	GSFC OHR	Hard copy	Schedule 3, Item 33F.1	Destroy when 5 years old or 5 years after completion of a specific training program
Appendix A to HCP 3410-4	Single-letter code organization	Single-letter code organization	Hard copy	Schedule 3, Item 33F.1	Destroy when 5 years old or 5 years after completion of a specific training program
Signed NHQ 56 or 228	GSFC OHR	GSFC OHR	Hard copy	Schedule 3, Item 33F.1	Destroy when 5 years old or 5 years after completion of a specific training program

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Appendix A: REQUIRED HEADQUARTERS QUALITY SYSTEM OJT FORM

See URL http://www.hq.nasa.gov/office/codec/codeci/help/forms/forms.htm. For electronic access to NHQ Form 268, Required Headquarters Quality System On-the-Job Training (OJT)